

Records Authority 2018/00153827

Australian Communications and Media Authority

Allocation, Licensing and Authorisation;
Compliance and Enforcement;
Industry and Consumer Relations;
Regulatory Policy and Planning

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INTRODUCTION

The Australian Communications and Media Authority (the ACMA) and the National Archives of Australia have developed this records authority to set out the requirements for keeping or destroying records for the core ACMA business areas of Allocation, Licensing and Authorisation, Compliance and Enforcement, Industry and Consumer Relations, Regulatory Policy and Planning. It represents a significant commitment on behalf of the ACMA to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of the ACMA. It takes into account the agency's legal and organisational information management requirements, and the interests of stakeholders, the agency and the National Archives.

The authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This authority gives the ACMA permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives on the basis of information provided by the agency.

As changes in circumstances may affect future information management requirements, the periodic review of this authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

- 1. This authority supersedes records authorities 2005/00474525, 2003/00677339 and 2001/04538412. The superseded records authorities cannot be used by the ACMA to sentence records after the date of issue of this authority.
- 2. This authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the authority.
 - Where the minimum retention period has expired and the records are not needed for ACMA business they should be destroyed as authorised in this authority;
 - Records that have not reached the minimum retention period must be kept until they do; and
 - Records that are identified as 'retain as national archives' are to be transferred to the National Archives for preservation.
- 3. This authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies; and
 - General Records Authority (31) Destruction of source or original records after digitisation, conversion or migration (2015).
- 4. The normal administrative practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this authority but can be used as a tool to assist in identifying records for destruction together with an agency's records authority or authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop a NAP policy is available from the National Archives' website at www.naa.gov.au.
- 5. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom*

- of Information Act 1982 or any other relevant act must not be destroyed until the action has been completed.
- 6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this authority is available from the National Archives website at www.naa.gov.au..
- 7. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this authority. The ACMA will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.
- 8. In general, retention requirements indicate a minimum period for retention. The ACMA may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the ACMA believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
- 9. Records coming within 'retain as national archives' classes in this authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the Archives Act 1983. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the Archives Act 1983.
- 10. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
- 11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives. Records created digitally after 1 January 2016 can be transferred in digital formats only.
- 12. Advice on how to use this authority is available from the ACMA information manager. If there are problems with the application of the authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other information management matters, please contact the National Archives' <u>Agency Service Centre</u>.

AUTHORISATION

RECORDS AUTHORITY 2018/00153827

Person to whom notice of authorisation is given:

Nerida O'Loughlin ACMA Chair ACMA Red Building Benjamin Offices Chan Street Belconnen ACT 2617

Purpose:

Authorises arrangements for the disposal of records in accordance

with Section 24(2)(b) of the Archives Act 1983.

Determines records classed as 'retain as national archives' in this records authority to be part of the archival resources of the

Commonwealth under section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Allocation, Licensing & Authorisation; Compliance & Enforcement; Industry & Consumer

Relations; and Regulatory Policy & Planning.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorising Officer

Date of issue:

8 August 2018

Anne McLean

A/g Assistant Director- General National Archives of Australia

The core business of allocating and assigning resources (eg numbers and radiofrequency spectrum) and issuing licences, permits or other authorisations to enable participants in the communications and media industry to engage in specified activities. Includes allocating, issuing authorisations for special events on a fee for service basis, and the subsequent management and coordination of frequencies and interference resolution services.

The core activities include:

- allocating and assigning resources, and issuing and managing licences or other authorisations (eg permits and approvals) to carry out industry-related activities;
- managing the examination and certification of radio operators, including re-examinations;
- giving opinions under legislation in relation to broadcasting licence categories;
- managing requests for reviews of decisions made by the Authority;
- · receiving, preparing and providing advice, briefings and reports;
- establishing, managing and participating in committees, meetings, working and consultative groups or similar fora;
- liaising with regulators, regulated individuals and entities and other stakeholders;
- negotiating, establishing and reviewing agreements;
- establishing and maintaining registers; and
- provision of radiofrequency allocation, assignment, coordination and management services to support external events.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing procedures and guidelines;
- · receiving and responding to enquiries;
- delegating authority;
- making routine arrangements for committees, meetings and taskforces.

Cross references to AFDA Express records authority

For requests and authorisations to access information and data under legislation, including under the Integrated Public Number Database (IPND) scheme or similar schemes, use INFORMATION MANAGEMENT.

Cross references to other records authorities

For records of advisory committees, use GRA 26 - ADVISORY BODIES.

For deeds or contracts under seal, use GRA 36 - CONTRACTS UNDER SEAL/DEEDS.

Cross references to other areas of this records authority

For monitoring and enforcing compliance with allocations and authorisations issued by the Authority, making exemptions from compliance requirements, processing applications for approval of extensions of temporary breaches and establishing and maintaining registers related to compliance, use COMPLIANCE & ENFORCEMENT.

For managing relations with industry, consumers and stakeholders broadly, including managing conferences, liaison, and the provision of information, advice and education and awareness programs, use INDUSTRY & CONSUMER RELATIONS.

For the provision of general information and advice to industry and consumers for the purpose of educating industry participants and promoting awareness of industry matters, rights and obligations

(including factsheets, bulletins, brochures, frequently asked questions etc), use INDUSTRY & CONSUMER RELATIONS.

For determining, collecting and processing fees and charges for allocating and assigning resources and issuing licences and authorisations, use REGULATORY POLICY & PLANNING.

For the development and review of class licences and technical frameworks (core conditions, determinations and advisory guidelines) which support licensing systems, use REGULATORY POLICY & PLANNING.

For issuing and managing accreditation, certification or other approval of persons or bodies to undertake industry activities on behalf of clients, such as accreditation of external frequency assigners and cabling registrars, or the determination of approving or certification bodies use REGULATORY POLICY & PLANNING.

For planning, developing and reviewing standards, codes, policies, principles, determinations, declarations, plans or similar instruments that establish and determine the overarching regulatory framework and policy basis for allocating, assigning and issuing licences and authorisations, use REGULATORY POLICY & PLANNING.

For establishing and maintaining registers of Ministerial directions and policy notifications, use REGULATORY POLICY & PLANNING.

Class no	Description of records	Disposal action
62448	 high level advice, briefings or reports considered contentious or controversial, which provide a major summarised account of industry performance and activity, concern issues of significant interest to stakeholders, or otherwise relate to matters which have far reaching implications for the regulation of the communications and media industry; 	Retain as national archives
	 high-level committees, meetings, working and consultative groups or similar fora set up to discuss significant matters relating to the allocation of resources and issue of industry authorisations where the Authority provides the chair, secretariat, or is the Commonwealth's main representative; 	
	 high-level memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which establish significant assistance, partnerships or other cooperative arrangements, includes records of negotiations and correspondence; 	
	 registers of licences, such as radiocommunications, broadcasting and telecommunications licences registers including station books, associated registers such as the nominated carrier declaration register; and 	
	[For telecommunications numbering registers, Do Not Call registers and other nominated declaration registers, use class 62453]	
	 the allocation and assignment of radiofrequency spectrum, and the subsequent issue of spectrum licences and authorisations where the allocation or assignment is considered to be: of significantly high value; precedent setting; contentious or controversial; or is considered to have far-reaching implications for the allocation of spectrum. This includes allocation through auction, tender, pre-determined or negotiated price. 	
	[For less significant or special event allocation and assignment licences and authorisations, use class 62450 or 62453]	

Class no	Description of records	Disposal action
62449	 Records documenting: examining and certifying amateur radio operators. Includes examination requests, examination papers and results, notifications of results (successful and unsuccessful), certificates of proficiency, and records relating to the cancellation of certificates, including notices, reasoning and requests review decisions. 	Destroy 75 years after action completed, or after death of certified operator, whichever is later
62450	Records documenting the allocation and assignment of radiofrequency spectrum and the issue of spectrum licences and authorisations other than those covered in class 62448. This includes allocation through auction, tender, pre-determined or negotiated price. Includes: • re-allocation recommendations and declarations; • licensee notifications, representations and offers; • information packs and guidelines; • auction or tender advertisements and schedules; • expressions of interest, applications, tenders and bids; • applications and supporting documents, including technical planning advice and engineering decisions, frequency assignment and interference impact certificates; • internal assessments, consultations and liaison with applicants; • notifications granting, refusing, suspending, resuming or cancelling licences, including associated reasons for decisions; • draft and final authorisation documents, allocation notices and gazette notices; • licence conditions, revocations, variations and transfers; • ongoing liaison with licensees; and • reviews of decisions. [For allocation or assignment of radiofrequency spectrum that is significant or high value or allocated through tender, use class 62448] [For allocation or assignment of radiofrequency spectrum for special event spectrum licences and authorisations, use class 62453] [For geographic and spatial datasets associated with spectrum allocation, use class 62463]	Destroy 20 years after action completed
	[For the development and review of statutory instruments and technical frameworks such as core conditions, determinations and advisory guidelines which support spectrum licensing arrangements, use REGULATORY POLICY & PLANNING] [For allocation instruments, including allocation determinations and marketing	
	or conversion plans, use REGULATORY POLICY & PLANNING] [For spectrum access charge determinations, use REGULATORY POLICY &	
	[For spectrum access charge determinations, use REGULATORY POLICY &	

Class no	Description of records	Disposal action
	PLANNING]	
62451	 issuing connection permits to allow customer equipment or cabling to connect to a telecommunications network or facility. Includes applications and supporting documents, assessments, consultations, liaison with applicants, conditions, revocations, variations etc; and [For submarine cable installation permits, use class 62453] meetings and liaison with agencies and individuals for routine exchange and sharing of information. 	Destroy 5 years after action completed
62452	 Records documenting: allocating and issuing trial certificates to enable industry participants to trial services prior to acquiring a licence (such as those issued prior to the issue of a carrier licence); advice, briefings and reports of a routine or informal nature, including internal operational advice, routine periodic reports and statistical updates; [For detailed technical or policy advice, briefings and reports not considered contentious, controversial, or relating to significant matters, use class 62453] applications for reviews of decisions not proceeded with (eg where the application for review is considered frivolous or vexatious); routine enquiries that require a standard response and which do not lead to investigation or further action; developing and reviewing internal operating procedures, guidelines and instructions which are considered low-level or routine in nature and do not provide a reference point for identifying underlying principles for regulatory decision-making, or approaches to handling compliance and enforcement operations; and routine arrangements for committees, meetings, working groups, consultations or similar forums. [For requests and associated authorisations to access information and data under legislation, including public numbering data, use AFDA Express - INFORMATION MANAGEMENT] 	Destroy 2 years after action completed
62453	 Records documenting: routine operational administrative tasks supporting the core business; and allocation, licensing and authorisation activities, other than those covered in classes 62448 to 62452. Includes: allocating, assigning and issuing resources, licences or other authorisations (other than those covered in classes above). Includes applications and supporting documents (including technical planning 	Destroy 10 years after action completed

Class no	Description of records	Disposal action
	impact certificates), licence conditions revocations, variations, transfers, determinations, records of any hearings, notifications, draft and final authorisation documents or allocation notices, and gazette notices. Also includes associated reviews of decisions and ongoing liaison with licensees;	
	 allocating, assigning and issuing licences or other authorisations to support special events on a fee for service basis (eg Grand Prix, Commonwealth Games etc). Includes the negotiation and establishment of contracts or agreements to deliver services, correspondence with event organisers, technical plans, project management records, records and reports of tasks and activities managed during the event by staff (eg coordination of frequencies, authorisations and lists of frequencies assigned, handling of interference cases etc); 	
	[For spectrum allocations and authorisations other than special events, use classes 62448 and 62450]	
	 opinions under legislation relating to categories of broadcasting services. Includes applications, assessments and final decisions; 	
	 memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which are not under seal, and which are not considered to be high level or significant; 	
	[For agreements under seal, use GRA 36 – CONTRACTS UNDER SEAL/DEEDS]	
	 detailed technical or policy advice, briefings and reports which are not considered contentious or controversial, or relating to matters which have significant implications for the communications and media industry; 	
	 committees, meetings, working groups and consultative groups set up to formally engage and consult with stakeholders on strategic, technical or operational matters relating to the allocation of resources and issue of industry authorisations, but which are not considered to be high-level; and 	
	 registers including the telecommunications numbering registers, Do Not Call register, and connection permits. 	
	[For licence registers including station books and nominated carrier declarations registers, use class 62448]	
	[For guidelines and instructions relating to spectrum licences, as well as spectrum auction guidelines, use class 62450]	

The core business of assessing, monitoring and ensuring compliance with communications and media requirements as outlined in regulatory frameworks (legislation, standards, codes, policies, determinations, declarations etc) or other industry requirements (eg conditions of licences, permits or other authorisations issued).

The core activities include:

- · receiving and responding to complaints;
- monitoring and auditing industry participants with respect to their performance and compliance with requirements, including intelligence gathering to maintain a watching brief on activities;
- carrying out investigations into known or suspected contraventions and taking necessary enforcement actions;
- managing the control, storage, sale and disposal of goods seized in contravention of communications regulations;
- making exemptions from compliance requirements;
- processing applications for approval or extensions of temporary breaches of regulatory requirements;
- seeking and managing the accreditation of the Authority's testing facilities to enable the conduct of compliance and enforcement activities, and managing requests for the recognition of testing facilities in Australia or overseas;
- testing radiocommunications and telecommunications equipment against standards and requirements;
- giving opinions under legislation in relation to compliance with media control requirements;
- assessing applications and making decisions relating to the classification of children's programs;
- managing requests for reviews of decisions made by the Authority;
- receiving, preparing and providing advice, briefings and reports;
- establishing, managing and participating in committees, meetings, working and consultative groups or similar fora;
- liaising with regulators, regulated individuals and entities and other stakeholders;
- · preparing and reviewing plans and strategies;
- establishing and maintaining registers; and
- negotiating, establishing and reviewing agreements.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing, procedures and guidelines;
- · receiving and responding to enquiries;
- · delegating authority; and
- making routine arrangements for committees, meetings and taskforces.

Cross references to AFDA Express Records Authority

For requests and associated authorisations to access information and data under legislation, including public numbering data, use INFORMATION MANAGEMENT.

For the acquisition of goods and services including contracting-out and tendering processes, use PROCUREMENT.

For the acquisition, lease, maintenance and management of buildings and land, including for monitoring stations, use PROPERTY MANAGEMENT.

For the acquisition, maintenance, replacement and general management of technology and equipment for monitoring stations (eg antennas, cables, recorders, repeaters etc) use TECHNOLOGY & TELECOMMUNICATIONS.

Cross references to other records authorities

For deeds or contracts under seal, use GRA 36 - CONTRACTS UNDER SEAL/DEEDS.

Cross references to other areas of this Records Authority

For issuing authorisation, assigning frequencies, and providing frequency coordination and interference resolution services at special events, use ALLOCATION, LICENSING & AUTHORISATION.

For registers of licences or other authorisations issued by the Authority, use ALLOCATION, LICENSING & AUTHORISATION.

For the provision of general information and advice to industry and consumers for the purpose of educating industry participants and promoting awareness of industry matters, rights and obligations (including factsheets, bulletins, brochures, frequently asked questions etc), use INDUSTRY & CONSUMER RELATIONS.

For complaints and investigations regarding satellite interference, use REGULATORY POLICY & PLANNING.

For the conduct or commissioning of research into and analysis of communications and media trends, technologies and issues, including consumer research and surveys, use REGULATORY POLICY & PLANNING.

For determining, collecting and processing fees and charges for regulatory services, use REGULATORY POLICY & PLANNING.

For the development and review of industry codes, standards, policies and legislative instruments such as compliance and enforcement policies, enforcement guidelines and infringement notice guidelines, use REGULATORY POLICY & PLANNING.

Class no	Description of records	Disposal action
62454	 formal investigations and enforcement actions where the matter is highly controversial, subject to intense media, government or public scrutiny, impacts a significant number of consumers, or results in substantial changes to industry practices or the Authority's regulatory activities. Includes initial complaints or notifications of breaches, preliminary inquiries, breach reports and assessments, impact studies, advice and liaison with relevant individuals or bodies, investigation plans, records of interviews, investigation reports and recommendations, warnings and notifications of enforcement actions, search warrants, evidence used to support findings and decisions, formal statements, reports and findings from hearings, briefs of evidence and court transcripts, and notices and reports of final decisions and outcomes; 	Retain as national archives
	 high level advice, briefings or reports considered contentious or controversial, which provide a major summarised account of industry performance and activity, concern issues of significant interest to stakeholders, or otherwise relate to matters which have far reaching 	

Class no	Description of records	Disposal action
	 implications for the regulation of the communications and media industry; high-level committees, meetings, working and consultative groups or similar fora set up to discuss and manage significant matters relating to compliance and enforcement activities and where the Authority provides the chair, secretariat, or is the Commonwealth's main representative; development and review of high-level plans and strategies developed or commissioned by the Authority which are subject to government-level, public or media scrutiny, or which have significant implications for the Authority's compliance and enforcement activities. Includes final version, major drafts distributed for comment, reports of feedback and consultations, supporting research; high-level memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which establish significant assistance, partnerships or other cooperative arrangements; includes records of negotiations and correspondence; registers setting limits on the control of commercial broadcasting services and newspapers, such as the associated newspaper register and registers of controlled media groups; and [For registers of equipment tested by the Authority, use class 62455] [For other compliance and enforcement registers such as those for local content plans, exemption and target reduction orders, enforceable undertakings, seized goods, approvals and notices etc, use class 62458] processing applications for the classification of children's programs. Includes applications and supporting documents, program content submitted in the form of scripts and audio-visual material, assessment 	action
62455	consultations, reports and recommendations, and notification of classification decisions. Records documenting: applying for and maintaining the accreditation of equipment testing facilities. Includes applications and supporting documents such as renewals and pre-submission documentation, liaison with accrediting bodies, compliance reports etc; and	Destroy 15 years after action completed
	 job files relating to the testing, measuring, calibrating, examining, inspecting, or otherwise checking of equipment to establish compliance with standards and requirements. Includes testing plans and methodologies, assessments, test results, labelling compliance statements, acceptance letters or other notification of conformance/non-conformance, and evidentiary certificates. Also includes registers of equipment tested. [For equipment testing and labelling exemptions, use class 62458] 	
62456	complaints or other reports of breaches/issues which require a preliminary inquiry or assessment and more detailed response, but which do not lead to any formal investigation. Includes preliminary inquiries and assessments, records of field inspections (eg inspection reports, interference reports, instrument measurements, contemporaneous notes	Destroy 5 years after action completed

Class no	Description of records	Disposal action
	etc), liaison with individuals or industry (where necessary), referrals, responses to complainants, and compliance warning notices. [For complaints which require a standard/routine response, use class 62457] [For complaints and investigations regarding satellite interference, use	
	 routine compliance monitoring and auditing activities that do not lead to investigation or enforcement actions by the Authority. Includes routine compliance audits or inspections, records of field inspections (eg inspection reports, interference reports, instrument measurements, contemporaneous notes etc), data collected, assessed and analysed from monitoring stations, the receipt and review of plans, reports, returns, statements etc from industry (eg such as those required to meet conditions of licences or authorisations), spam, malicious software or other internet security feeds and reports etc. Also includes planning and reporting on targeted compliance activities as part of priority compliance area programs, and ad hoc liaison with industry participants to monitor and ensure compliance; 	
	 [For statutory reports to the Minister or other stakeholders regarding the performance of industry, use class 62454] requests made to the Authority to recognise overseas bodies as being competent to assess equipment and products as conforming to Australian standards. Includes liaison and correspondence with overseas accrediting bodies, notifications of approval/refusal, and lists of overseas conformity assessment bodies; meetings and liaison with agencies and individuals for routine exchange and sharing of information; and development and review of operational plans and strategies such as those that inform, prioritise, schedule or otherwise direct the Authority's compliance and enforcement program of work or general operational activities. 	
62457	 receiving and handling of complaints and enquiries which do not require any preliminary inquiry or assessment, such as those requiring a standard response or referral to external bodies; [For requests and associated authorisations to access information and data under legislation, including public numbering data, use AFDA Express - INFORMATION MANAGEMENT] requests made by the Authority to recognise Australian bodies as being competent to assess equipment and products as conforming to specified standards (overseas). Includes liaison and correspondence with overseas accrediting bodies, notifications of approval/refusal, and lists of Australian bodies designated to test to overseas standards; advice, briefings and reports of a routine or informal nature, including internal operational advice, routine periodic reports and statistical updates (eg on numbers of enquiries, complaints and investigations, progress of matters/activities etc); 	Destroy 2 years after action completed

Class no	Description of records	Disposal action
	 [For detailed technical or policy advice, briefings and reports not considered contentious, controversial, or relating to significant matters, use class 62458] applications for reviews of decisions not proceeded with (eg where the application for review is considered frivolous or vexatious); developing and reviewing internal operating procedures, guidelines and instructions which are considered low-level or routine in nature and do not provide a reference point for identifying underlying principles for regulatory decision-making, or approaches to handling compliance and enforcement operations; and routine arrangements for committees, meetings, working groups, consultations or similar forums. 	
62458	Records documenting:	Destroy 10
	routine operational administrative tasks supporting the core business; and	years after action
	 compliance and enforcement activities, other than those covered in classes 62454 to 62457. 	completed
	Includes:	
	 formal investigations and (where relevant) enforcement actions which are not considered to be highly significant or controversial. Includes initial complaints or notifications of breaches, preliminary inquiries, breach reports and assessments, impact studies, advice and liaison with relevant individuals or bodies, investigation plans, records of interviews, investigation reports and recommendations, warnings and notifications of enforcement actions, search warrants, evidence used to support findings and decisions, formal statements, reports and findings from hearings, briefs of evidence and court transcripts, and notices and reports of final decisions and outcomes; 	
	 storage, sale and disposal of goods, such as unlicensed radiocommunications devices, seized as part of compliance monitoring and enforcement activities. Includes valuation requests and certificates, storage, receipt and dispatch records, records of auctions, sales or destruction etc; 	
	 making exemptions from compliance requirements with regulatory arrangements, such as exemption certificates issued to owners or operators of broadcasting transmission towers, datacasting exemption orders, captioning exemptions and target reduction orders, testing and labelling exemptions for major events etc. Includes processing requests and applications, making assessments decisions, including issuing compliance exemption certificates, declarations, or orders, including any associated statements of reasons; 	
	 approvals or extensions of temporary breaches, including applications, assessments and decision notices; 	
	 opinions under legislation on whether a person is in a position to control a licence, newspaper or company. Includes applications, supporting statements, and opinions provided to applicants; 	
	 detailed technical or policy advice, briefings and reports not considered contentious, controversial, or relating to matters which have significant 	

Class no	Description of records	Disposal action
	implications for the communications and media industry;	
	 committees, meetings, working groups and consultative groups set up to formally engage and consult with stakeholders on strategic, technical or operational compliance and enforcement matters, but which are not considered to be high-level; 	
	 memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which are not under seal, and which are not considered to be high level or significant; 	
	 development and review of procedures, guidelines or instructions which provide a reference point for identifying underlying principles for the Authority's decision-making, explain the Authority's interpretation of the law, or which provide practical guidance for industry to facilitate meeting compliance requirements. Includes major drafts, results of stakeholder consultations and feedback, and final version; 	
	 registers for local content plans, exemption and target reduction orders, enforceable undertakings, seized goods, approvals and notices etc registers of restricted datacasting licences; 	
	[For registers of equipment tested by the Authority, use class 62455]	
	[For media ownership registers, use class 62454]	
	 processing requests for a review of decisions made by the Authority in relation to compliance and enforcement actions; and 	
	delegations of authority relating to the core business.	

The core business of maintaining general relationships with regulators, industry bodies and consumers and ensuring that they are well informed of their rights and industry issues and activities. This includes through liaison and consultation, meetings, conferences and events, or the dissemination of information and advice.

The core activities include:

- educating and promoting awareness of industry issues and activities through the provision of information and the development of campaigns and education programs;
- · preparing and issuing consumer warnings and alerts;
- liaising with regulators, industry, consumers and other stakeholders;
- · arranging and attending conferences, seminars or other events;
- preparing and delivering speeches and presentations;
- receiving, preparing and providing advice, briefings and reports;
- · negotiating, establishing and reviewing agreements;
- establishing, managing and participating in committees, meetings, taskforces, or similar working groups; and
- · preparing and reviewing plans and strategies;

The performance of the core business is supported by **general activities** such as:

- · delegating authority;
- receiving and responding to enquiries;
- developing, implementing and reviewing internal operating policies and procedures; and
- making routine arrangements for committees, meetings, taskforces, conferences or other events.

Cross references to AFDA Express Records Authority

For arranging visits by members of the public or members of government (eg domestic or overseas regulators), including for the purposes of strengthening relationships and sharing information, use COMMUNITY RELATIONS or GOVERNMENT RELATIONS.

For the acquisition of goods and services including contracting-out and tendering processes, use PROCUREMENT.

Cross references to other records authorities

For advisory bodies, including consumer advisory committees and forums established to assist the agency perform its functions, use GRA 26 - ADVISORY BODIES.

Cross references to other areas of this Records Authority

For consultations with industry regarding the development of codes and standards, use REGULATORY POLICY & PLANNING.

For liaison with and advice to industry regarding the allocation of licences use ALLOCATION, LICENSING & AUTHORISATION.

For the handling of complaints from industry or consumers about industry activities or taking compliance and enforcement actions in the interests of protecting consumers, use COMPLIANCE & ENFORCEMENT.

For the conduct or commissioning of research such as consumer research and surveys, or research into awareness raising and educational initiatives, use REGULATORY POLICY & PLANNING.

Class no	Description of records	Disposal action
62459	 major national education programs or awareness campaign materials and resources which aim to raise awareness of significant issues impacting industry and consumers. Includes final version of program plans, information resources (manuals, guides, posters, children's activities etc) and presentations. Also includes final version of reports which evaluate or review the effectiveness of national programs or campaigns; final version of proceedings and reports of major industry or public conferences, workshops, seminars or other forums hosted by the Authority; final version of speeches and presentations made by the Minister, Chairman, Deputy Chair, or other senior agency officers, at major public events, conferences, workshops or forums which promote, discuss or announce significant industry policies, reforms, programs, activities or issues; high level advice, briefings or reports considered contentious or controversial, which provide a major summarised account of industry performance and activity, concern issues of significant interest to stakeholders, or otherwise relate to matters which have far reaching implications for the regulation of the communications and media industry; 	Retain as national archives
	 high-level committees, meetings, working and consultative groups or similar fora, set up to propose or discuss significant, contentious or controversial issues and matters affecting industry, government, the community or Australia more broadly, and where the Authority provides the chair, secretariat, or is the Commonwealth's main representative; high-level memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which establish significant assistance, partnerships or other cooperative arrangements, includes records of negotiations and correspondence; development and review of high-level plans and strategies which are subject to government-level, public or media scrutiny, or which have significant implications for the Authority's industry and consumer relations activities. Includes final version, major drafts distributed for comment, 	
62460	reports of feedback and consultations, supporting research. Records documenting: education and awareness programs and campaigns (other than those covered in class 62459) and general information and awareness resources (eg brochures, factsheets, frequently asked questions, guides, posters, bulletins, blogs, educational videos, updates, stickers or similar marketing collateral etc) which provide detailed advice and assistance to industry, consumers or the wider community regarding industry issues, activities, obligations, or consumer rights. Includes the development and review of major education programs and campaigns covered in class 62459; [For the final version of resources for major education programs or campaigns, use class 62459] final version of speeches and presentations, other than those covered in	Destroy 5 years after action completed

Class no	Description of records	Disposal action
	class 62459;	
	internal operational plans and strategies; and	
	 meetings and liaison with agencies and individuals for routine exchange and sharing of information. 	
62461	Records documenting:	Destroy 2
	routine enquiries and requests for information;	years after action
	 advice, briefings and reports of a routine or informal nature, including internal operational advice, routine periodic reports and statistical updates; 	completed
	[For detailed technical or policy advice, briefings and reports not considered contentious, controversial, or relating to significant matters, use class 62462]	
	 administrative arrangements for the delivery of education and awareness programs, conferences and events such as application forms and registrations, attendance confirmations, facility, venue and catering arrangements etc; 	
	 short messages, general information, updates, warnings and alerts which are time-limited and disseminated to keep industry and consumers informed and updated with regard to current, pending or emerging events, activities or issues; 	
	[For detailed advice and information to industry and consumers to promote awareness and understanding of industry issues and matters, use class 62460]	
	 development and review of internal operational procedures, guidelines or instructions which are considered low-level or routine in nature and do not provide a reference point for identifying underlying principles for decision- making, or approaches to handling regulated activities and operations; and 	
	 routine arrangements for committees, meetings, working groups, consultations or similar forums. 	
62462	Records documenting:	Destroy 10
	routine operational administrative tasks supporting the core business; and	years after action
	 industry and consumer relations activities, other than those covered in classes 62459 to 62461. 	completed
	Includes:	
	 final versions of all other routine agreements with domestic bodies which are not under seal, or considered high level or significant; 	
	 detailed technical or policy advice, briefings and reports provided to or received from the Minister, statutory or industry bodies, or other key stakeholders that is not considered contentious or controversial, or relating to matters which have significant implications for industry and consumer relations; 	
	 committees, meetings, working groups or consultative groups set up to formally engage and consult with consumers and industry but which are 	

Class no	Description of records	Disposal action
	 not considered to be high-level; development and review of policies, procedures, guidelines or instructions which document underlying principles and processes for the Authority's decision-making and approach to managing industry and consumer relations. Includes major drafts, results of stakeholder consultations and feedback, and final version; and delegations of authority relating to the core business. 	

The core business of planning, developing, reviewing and managing standards, codes, policies, principles, determinations, declarations, plans or similar instruments that establish and determine the overarching regulatory framework and policy basis applicable to the Australian communications and media industry.

This includes representing Australia's communications position and interests in international arenas (eg through agreements, meetings, committees or other forums), and conducting or commissioning research into and analysis of communications and media trends, technologies and issues to ensure regulatory and policy decisions are informed by evidence.

The core activities include:

- developing and reviewing standards, codes, policies, principles, plans or other rules that provide the overarching framework (technical or otherwise) or policy basis for regulating industry;
- registration and de-registration of consumer and industry codes and standards;
- carrying out inquiries and investigations into systemic issues or matters of specified interest, including at the direction of government;
- supporting the establishment and management of space systems, including satellite networks, launch vehicles and Earth stations;
- managing geographic, spatial, population or other technical datasets to inform regulatory planning and resource allocation activities;
- issuing and managing the accreditation, certification or other approval of persons to undertake industry activities;
- determining, collecting and processing fees and charges for regulatory services, including as part
 of industry funding obligations or reimbursement schemes;
- conducting research;
- negotiating, establishing and reviewing agreements;
- preparing and reviewing plans and strategies;
- receiving, preparing and providing advice, briefings and reports;
- establishing, managing and participating in committees, meetings, working and consultative groups or similar fora;
- liaising with regulators, regulated individuals and entities and other stakeholders;
- · managing requests for reviews of decisions made by the Authority; and
- maintaining registers of Ministerial directions and policy notifications.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing internal policies, procedures and guidelines;
- program or project management and administration;
- · receiving and responding to enquiries;
- delegating authority; and
- making arrangements for committees, meetings, working groups or other forums and consultations.

Cross references to AFDA Express Records Authority

For media releases, use COMMUNITY RELATIONS.

For the coordination and management of policy advice to government regarding the development and review of Acts, Bills and by-laws administered by the Authority, use GOVERNMENT RELATIONS.

For ongoing advice and reports to government on the Authority's performance as a regulator and reports on deregulation, use GOVERNMENT RELATIONS.

For requests and authorisations to access information and data, including under the Integrated Public Number Database (IPND) scheme or similar schemes, use INFORMATION MANAGEMENT.

For the outsourcing of functions and services to external bodies (eg numbering administration, the Do Not Call Register and accreditation/training services), use PROCUREMENT.

For the development and review of Acts, Bills and by-laws administered by the Authority, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For formal advisory bodies (including committees) set up to advise and assist the Authority in performing its functions, use GRA 26 - ADVISORY BODIES.

For deeds or contracts under seal, use GRA 36 - CONTRACTS UNDER SEAL/DEEDS.

Cross references to other areas of this Records Authority

For the allocation, assignment and issue of resources, licences or other authorisations, including allocation and assignment policies and procedures, use ALLOCATION, LICENSING & AUTHORISATION.

For monitoring and enforcing compliance with regulatory frameworks, including issuing exemptions or waivers from regulatory requirements, use COMPLIANCE & ENFORCEMENT.

For general information provided to industry and consumers regarding codes, standards, industry policies and other regulatory instruments, use INDUSTRY & CONSUMER RELATIONS.

For the provision of general information and advice to industry and consumers for the purpose of educating industry participants and promoting awareness of industry matters, rights and obligations (including factsheets, bulletins, brochures, frequently asked questions etc), use INDUSTRY & CONSUMER RELATIONS.

Class no	Description of records	Disposal action
62463	 development and major review or variation of: plans that govern the allocation and use of resources (numbers and spectrum). This includes telecommunications numbering plans, spectrum plans, frequency band plans, administrative band plans, marketing and conversion plans, licence area plans, digital channel plans and frequency allotment plans associated with segments of 	Retain as national archives
	 standards, codes, policies, principles, conventions or other rules (including in the form of statutory guidelines, notices, determinations, declarations, directions etc) which provide the overarching framework and policy basis for regulating the communications and media industry; and 	
	 class licences, core conditions, determinations and guidelines that provide the technical framework for licensing arrangements. 	
	Major reviews and variations include those where resulting updates and amendments have a significant impact on consumers or industry, propose new or substantially revised arrangements, or which are otherwise	

Class no	Description of records	Disposal action
	considered to have enduring value in understanding major government decisions regarding industry regulation.	
	 Ministerial directions, proposals, consultation papers (eg issues, options, and discussion papers), variation requests, technical specifications, supporting spatial datasets, planning assessments and engineering reports, outcomes of industry working groups, policy tests, major drafts distributed for comment, submissions received, reports or summaries of feedback and consultations (including outcomes of working groups or committees), supporting research papers, final version, and explanatory statements; 	
	• development and review plans and strategies which direct the Authority's planning program and priorities and which are considered significant on the basis that they reflect major national or international agreements and obligations, provide a summarised outline of regulatory planning activities and priorities, or propose strategies that address significant issues impacting government, industry or the wider community. Records include Ministerial directions, proposals, issues, options and decisions and discussion papers, major drafts distributed for comment, submissions received, reports or summaries of feedback and consultations, supporting research papers and final version;	
	 inquiries where findings and reports are considered particularly contentious or controversial, lead to significant changes to industry regulation or consumer protection measures, or otherwise considered to have enduring value in understanding Australia's regulatory position and framework over time. Includes ministerial directions, terms of reference, consultation and discussion papers, records of public hearings, results and summaries of consultations including submissions received, supporting research reports, and findings, reports and recommendations of inquiries and investigations; 	
	 research reports, papers and snapshots produced or commissioned by the Authority which lead to substantial changes to industry practices, operations or regulatory reform, are considered contentious or controversial, gathers original or unique data, or offers significant insight into issues impacting consumers or the regulation of the communications and media industry within Australia or internationally. Includes scoping documents, data collection/survey design and development records, data files and tables, data dictionaries, research outcomes, including presentation packs and research reports (including summary reports); 	
	 treaties, high-level memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which establish significant assistance, partnerships or other cooperative arrangements, includes records of negotiations and correspondence; 	
	 high-level advice, briefings or reports considered contentious or controversial, which provide a major summarised account of industry performance and activity, concern issues of significant interest to stakeholders, identifies Australia's official position on regulatory matters (ie Australian government delegation briefs), or otherwise relate to matters which have far reaching implications for the regulation of the communications and media industry; 	
	 high-level committees, meetings, working and consultative groups or similar fora, set up to propose or discuss significant, contentious or 	

Class no	Description of records	Disposal action
	controversial spectrum planning issues and matters affecting industry, government, the community or Australia more broadly, and where the Authority provides the chair, secretariat, or is the Commonwealth's main representative;	
	registers of policy notifications and Ministerial directions;	
	 registration and deregistration of codes and standards. Includes internal assessments, advice and notices to register or refuse to register codes and standards, requests for reviews of decisions, and standards and codes registers; and 	
	 development and review of policies, procedures, guidelines or instructions which document underlying principles and processes for the Authority's decision-making and governing approach to regulatory activities, explain the Authority's interpretation of the law, or which provide practical guidance for industry to facilitate meeting compliance requirements. Includes final versions, major drafts, results of stakeholder consultations and feedback. 	
62464	Records documenting:	Destroy 40
	 support for existing or new space systems (satellite networks, launch vehicles and Earth stations). Includes requests and applications to file satellite networks with international regulators, associated evaluations and assessments, meetings, liaison and consultations with regulators or operators, the handling and management of satellite network interferences, frequency coordination notification submissions, and filing notifications. Also includes authorisations for operators to engage internationally in coordination agreements, and the receipt and investigation of satellite network interference complaints. [For the licensing of radiocommunications devices, including Earth station and other space system licences, use ALLOCATION, LICENSING & AUTHORISATION] [For high-level, including treaty-level agreements and arrangements regarding the establishment and management of space systems, use class 62463] [For complaints and investigations into interference regarding terrestrial 	years after action completed
00405	radiocommunications services, use COMPLIANCE & ENFORCEMENT]	Destroy 00
62465	 research reports, papers and snapshots produced or commissioned by the Authority which do not lead to substantial changes to industry, are not considered contentious or controversial, and do not offer significant insight into industry regulation issues; but which evaluate or inform industry policy or practice, form part of a research series, support ongoing trend analysis, are repeatable research pieces, or relate to longstanding radiocommunications and radiofrequency spectrum matters. Includes scoping documents, data collection/survey design and development records, data files and tables, data dictionaries, research outcomes, including presentation packs and final research reports (including summary reports). 	Destroy 20 years after action completed
62466	Records documenting:	Destroy 5 years after

Class no	Description of records	Disposal action
	 accrediting or approving persons or bodies to carry out industry activities, such as the accreditation of external frequency assigners and cabling registrars, or the determination of approving and certification bodies. Includes applications, assessments, internal recommendations, approvals or refusals, copies of signed deeds of indemnity or agreement, or signed determinations, withdrawal notifications and representations, and lists/registers of accredited, certified or otherwise approved bodies or persons; includes register of cabling registrations); 	action completed
	[For original deeds or contracts under seal, use GRA 36 - CONTRACTS UNDER SEAL/DEEDS]	
	 meetings and liaison with agencies and individuals for routine exchange and sharing of information; and 	
	 management and administration of projects and routine programs, including program and project plans, schedules and timelines, meetings, progress reports, close out and lessons learned reports etc. 	
	[For major program management and administration records, use class 62468]	
62467	Records documenting:	Destroy 2
	 routine enquiries and requests for information; 	years after action
	 applications for reviews of decisions not proceeded with (eg where the application for review is considered frivolous or vexatious); 	completed
	 advice, briefings and reports of a routine or informal nature, including internal operational advice, routine periodic reports and statistical updates; 	
	[For detailed technical or policy advice, briefings and reports not considered contentious, controversial, or relating to significant matters, use class 62468]	
	[For requests and associated authorisations to access information and data under legislation, including public numbering data, use AFDA Express - INFORMATION MANAGEMENT]	
	 development and review of internal operational procedures, guidelines or instructions which are considered low-level or routine in nature and do not provide a reference point for identifying underlying principles for regulatory decision-making, or approaches to handling regulated activities and operations; 	
	 secondary datasets obtained from external sources and retained for reference, such as census data and boundary data; and 	
	[For spatial datasets and GIS information generated to support decision making as part of the development and review of licences or plans, use class 62463]	
	 routine arrangements for committees, meetings, working groups, consultations or similar forums which are not considered high-level national, regional or international meetings. 	
	[For arranging and coordinating high-level national, regional or international meetings, use class 62463]	

Class no	Description of records	Disposal action
62468	 Records documenting: routine operational administrative tasks supporting the core business; and regulatory framework activities, other than those covered in classes 62463 to 62467. Includes: minor reviews and updates of standards, codes, rules, and legislative 	Destroy 10 years after action completed
	instruments (including laws, regulations, determinations, plans etc), where resulting updates and amendments are considered routine, administrative or iterative in nature, and do not have a significant impact on consumers or industry;	
	 inquiries and investigations carried out in response to systemic issues identified by the Authority, or requests from government on matters of specified interest, where findings and reports are considered routine and do not have enduring value in understanding Australia's regulatory position framework over time. Includes ministerial directions, terms of reference, consultation and discussion papers, records of public hearings, results and summaries of consultations including submissions received, supporting research reports, and findings, reports and recommendations of inquiries and investigations; 	
	 determination, collection, reimbursement or other processing of levies, fees and charges for regulatory services, including as part of industry funding obligations or reimbursement schemes. Includes cost recovery impact statements, determining and consulting on pricing (including pricing reviews), supporting research, revenue target statements, revenue returns and supporting documents (financial statements, remittance schedules, corporate structures, statutory declarations etc), estimates, assessments, calculations, adjustments and rebate/subsidy claims, notices of applicable levies, fees and charges, invoices, correspondence and liaison (as required), refunds, late payment penalties and infringement notices (fines); 	
	[For the development and review of statutory determinations which outline how the Authority establishes levies, fees and charges, use class 62463] [For the development and review of Acts, Bills and by-laws that set out	
	arrangements and calculation methods for taxes, fees and other charges, use AFDA Express - STRATEGIC MANAGEMENT – Legislation]	
	 routine research reports, papers and snapshots produced or commissioned by the Authority where research does not evaluate or inform industry policy or practice, form part of a research series, support ongoing trend analysis, and is not otherwise significant or repeatable; 	
	 memorandums of understanding, agreements or similar arrangements with domestic or overseas bodies which are not under seal, and which are not considered to be high level or significant; 	
	 development and review of all other plans and strategies (other than those covered in class 62463) which are not considered significant; 	
	 detailed technical or policy advice, briefings and reports not considered contentious or controversial, or relating to matters which have significant implications for the communications and media industry; 	

Class no	Description of records	Disposal action
	 committees, meetings, working and consultative groups, or similar fora set up to formally engage and consult with stakeholders on policy or technical matters or other issues raised by industry or the Authority; 	
	 arranging and coordinating high-level national, regional or international committees, meetings, consultative and working groups. Includes overseas visit approvals, bookings, sponsorship packages, marketing/promotional collateral, accommodation and catering arrangements etc; 	
	 management and administration of major programs, such as those relating to the management and implementation of regulatory reforms. Includes program plans, the establishment and meetings of program boards (including terms of reference), benefits maps, program schedules and timelines, progress reports, risk registers, close out and lessons learned reports etc; and 	
	delegations of authority relating to the core business.	